

# Roles of the Transforming Growth Factor $\beta$ 1 and Its Type I and II Receptors in the Development of a Pulmonary Adenocarcinoma: Results of an Immunohistochemical Study

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**Background:** In the United States, pulmonary adenocarcinomas have recently replaced squamous cell carcinomas as the most frequent type of lung cancer encountered. The incidence of pulmonary adenocarcinoma continued to increase worldwide.

**Method:** To determine the roles of the transforming growth factor- $\beta$ 1 (TGF- $\beta$ 1), and TGF- $\beta$  type I receptor (T $\beta$ R-I), and the TGF- $\beta$  type II receptor (T $\beta$ R-II) in the progression of a pulmonary adenocarcinoma, their respective expressions have been immunohistologically studied in specimens from 120 pulmonary adenocarcinoma patients.

**Result:** The overall prognosis was significantly poorer for patients showing positive TGF- $\beta$ 1, T $\beta$ R-I, T $\beta$ R-II expressions than for patients who were negative to all three immunostainings ( $P < 0.01$ ). Our multivariate analysis also revealed that a positive TGF- $\beta$ 1 response significantly affect prognosis ( $P < 0.05$ ).

**Conclusions:** TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II play important roles in tumor progression, and a positive TGF- $\beta$ 1 expression can serve as a pulmonary adenocarcinoma marker. T $\beta$ R-I and T $\beta$ R-II expressions are necessary for TGF- $\beta$  signal transduction.

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**KEY WORDS:** prognostic factor; proliferation; signal transduction; tumor progression

## INTRODUCTION

The transforming growth factor (TGF)- $\beta$  constitutes a family of polypeptides that have been found to be multifunctional regulators for such processes as cell growth, differentiation, adhesion, migration, angiogenesis, extramatrix formation, and the immune functions [1,2]. Al-

though the expression of TGF- $\beta$  isoforms is differentially regulated, these pleiotrophic peptides have shown

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similar biological effects in most experimental applications. As for cancer cell growth, the TGF- $\beta$  peptides exert either a positive or a negative effect, depending on the cell type and culturing conditions. In this regard, they were found to suppress the proliferation of cancer cells in vitro [3]. As for cancer cell growth in vivo, however, failure to respond to the inhibitory activity of the TGF- $\beta$  peptides has been speculated to confer a growth advantage to cancer cells [1,2].

Of the five different peptides that constitute the TGF- $\beta$  family, TGF- $\beta$ 1 is the predominant form in humans, and it is widely distributed in a variety of normal cells and organ tissue [4]. Further, it has been found that the TGF- $\beta$  activity is mediated through surface receptors to which the TGF- $\beta$  peptides bind [5], and the TGF- $\beta$  type I receptor (T $\beta$ R-I), and the TGF- $\beta$  type II receptor (T $\beta$ R-II) possess intracellular serine/threonine kinase domains that are activated upon complex formation [6]. Further, T $\beta$ R-III, membrane proteoglycan, binds TGF- $\beta$ s but is not thought to have direct signal transducing activity [7].

The incidence of lung cancers of all histological types have increased, and in the United States, adenocarcinomas have recently replaced squamous cell carcinomas as the most frequent type of lung cancer encountered [8]. It also has been reported that the incidence of pulmonary adenocarcinomas is increasing globally [9]. Little progress has been made in what we know about pulmonary adenocarcinomas. Therefore, to add to our knowledge, this study has evaluated whether the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II expressions play a role in the progression and prognosis of pulmonary adenocarcinoma.

## MATERIALS AND METHODS

Studied were tissue specimens from 120 patients who underwent a pulmonary adenocarcinoma resection at the First Department of Surgery of Teikyo University between 1984 and 1991. Excluded were patients who died within 1 month after surgery and those who underwent exploratory thoracotomy. Also excluded were patients with a past history of another cancer.

The lesions of these 120 patients were staged on both the operative and pathologic findings, based on the International Union Against Cancer (UICC) TNM classification of 1987. Results broke down as follows: stage I in 58 patients; stage II in 6; stage IIIa in 32; stage IIIb in 2; and stage IV in 22. The patients consisted of 69 males and 51 females from 28–81 years (mean: 61 years).

Although the degree of histological differentiation in each pulmonary adenocarcinoma was evaluated, the degree of differentiation of an adenocarcinoma sometimes differed among areas of the same tumor, so that the most predominant degree of differentiation in each tumor was the deciding factor. On this basis, the lesions were found to be well differentiated in 57 patients, moderately differentiated in 44, and poorly differentiated in 19. Patients

for whom radical surgery such as lobectomy or a pneumonectomy, with a hilar and mediastinal lymph node dissection, had been preoperative planned were considered to have manifested operative indications. Postoperatively, all patients were followed for 5–12 years and their outcomes were known.

## Immunohistological Staining

Resected tissue specimens were fixed in formalin, embedded in paraffin, and cut into 3- $\mu$ m serial sections. Then, using the rabbit anti-TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II polyclonal antibodies (TGF- $\beta$ 1: cat#sc-146; T $\beta$ R-I: cat#sc-90) (Santa Cruz Biotechnology, Santa Cruz, CA) (T $\beta$ R-II: #06-227) (Upstate Biotechnology, Lake Placid, NY), the sections underwent hematoxylin-eosin and immunohistological staining for TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II. The TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II antisera exhibited no cross reactivity on Western blotting or immunoprecipitation.

Immunohistological staining for TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II was based on the avidin biotin peroxidase complex (ABC) method and was performed by using a Vestatin Kit (Vector Co., Burlingame, CA). Briefly, the sections were deparaffinized and after inhibition of the endogenous peroxidase, were washed in phosphate-buffered saline (PBS). Next, the sections were treated with 10% normal swine serum (Vector), reacted with 1/50 solution of rabbit anti-TGF- $\beta$ 1, anti-T $\beta$ R-I, and anti-T $\beta$ R-II polyclonal antibodies as the primary antibodies, and stored at 4°C overnight. The secondary reaction was accomplished at room temperature by using biotinized swine anti-rabbit serum (Vector) for 60 minutes. Procedurally, the avidin biotin peroxidase was dripped onto the sections, after which the sections were not disturbed for 60 minutes. Then, the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II were stained by diaminobenzidine. Nuclear staining was performed by using methyl green. Negative control sections were treated by using non-immunized rabbit IgG as the primary antibody.

## Analysis

Two independent observers evaluated the immunohistological staining for TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II under light microscopy, and their expressions were classified as either negative or positive. Relationships among the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II stainings were analyzed by using Spearman's correlation coefficients. The TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II stainings and relationships with the T-, N-, and M-factors, as well as the stage and the degree of histological differentiation, were analyzed by using the Chi-square test.

The survival rate was calculated by the Kaplan-Meier method and compared with log-rank test. Each prognostic factor was then correlated with overall survival in a multivariate analysis by using Cox's proportional hazard

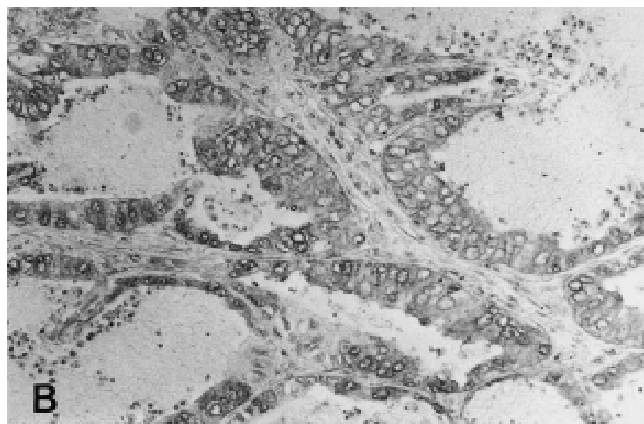
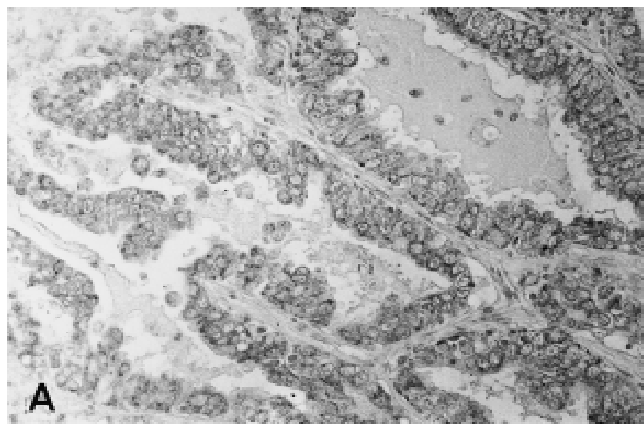


Fig. 1. A well-differentiated pulmonary adenocarcinoma (A and B). Most of the cytoplasm of the tumour cells showed intense TGF- $\beta$ 1 and T $\beta$ R-I expressions.  $\times 66$  (A: TGF $\beta$ 1 immunoreactivity; B: T $\beta$ R-I immunoreactivity).

regression model. Computer calculations were performed by using the StatView statistical package (Abacus Concepts, Berkeley, CA) and a Macintosh System Power Book 5300 C computer. Variations that were statistically significant were set at  $P < 0.05$ .

## RESULTS

The TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II immunohistological stainings were found to be slightly positive in the fibroblasts, the normal pulmonary alveoli, the bronchial epithelium, and the vascular endothelium. Further, in the cancer cells of many patients, the cytoplasm showed intense TGF- $\beta$ 1 and T $\beta$ R-I stainings (Fig. 1A and B), and cancerous stroma showed intense T $\beta$ R-II stainings (Fig. 2). Positive TGF- $\beta$ 1 and T $\beta$ R-I stainings also were seen in the cancerous stroma and fibroblasts of the fibrous stroma of a small number of patients.

Of the 120 patients, positive TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II stainings were separately expressed in 66 patients (55%), 67 patients (56%), and 76 patients (63%), respectively. A significant correlation was found between TGF- $\beta$ 1 and T $\beta$ R-I, but not among TGF- $\beta$ 1 and T $\beta$ R-II, and T $\beta$ R-II (Table I).

Table II shows the relationships among the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II immunoreactivities and the clinicopathologic factors in our pulmonary adenocarcinoma patients. A significant relationship was found between the T-factor of the TNM classification and the TGF- $\beta$ 1 or T $\beta$ R-I expression ( $P < 0.01$  or  $P < 0.05$ ). Further, a significant relationship was also found between the P-stage, the presence of metastases (M factor), and the T $\beta$ R-II expression ( $P < 0.05$  and  $P < 0.01$ ).

Table III shows the relationship between the clinicopathologic features and the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II expressions on comparing the findings between the all negative group and the all positive group. This comparison revealed significant differences in the P stage ( $P <$

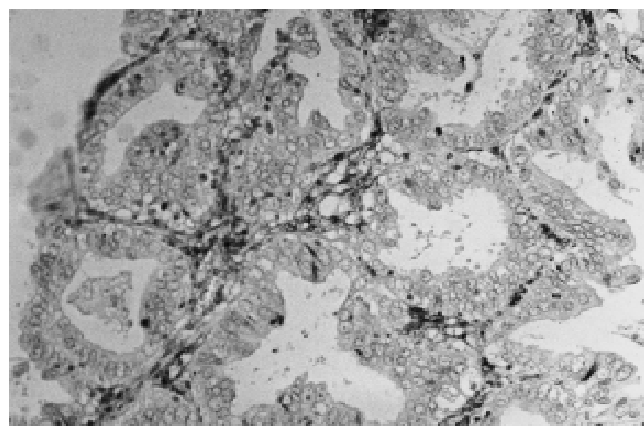


Fig. 2. A well-differentiated pulmonary adenocarcinoma. The mesenchymal portion of the tumour cells showed a positive T $\beta$ R-II expression.  $\times 66$

TABLE I. Pulmonary Adenocarcinoma: The Spearman TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II Correlation Coefficients

	Parameters		
	TGF- $\beta$ 1	T $\beta$ R-I	T $\beta$ R-II
TGF- $\beta$ 1	1		
T $\beta$ R-I	0.65	1	
T $\beta$ R-II	0.07	0.06	1

0.01) and the M factor ( $P < 0.05$ ) between these two groups.

Figures 3, 4, and 5, graphically show the overall prognosis, based on the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II classification. Significant differences were seen between the TGF- $\beta$ 1 (–) and the TGF- $\beta$ 1 (+) survivals ( $P < 0.01$ ), and between the T $\beta$ R-II (–) and the T $\beta$ R-II (+) survivals ( $P < 0.05$ ).

Table IV shows the 5-year survival rate in patients whose tumors showed positive TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II immunostainings versus patients with tumors that were negative to all three immunostainings. This log-

**TABLE II. Relationships Among TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II Immunoreactivities and Clinicopathologic Factors in Pulmonary Adenocarcinoma Patients**

Variable	No. of cases	No. of cases with immunoreactivity to:		
		TGF- $\beta$ 1	T $\beta$ R-I	T $\beta$ R-II
<i>P</i> -stage <sup>a</sup>				
I	58	27 (46.6%)	26 (44.8%)	30 (51.7%)
II	6	3 (50.0%)	3 (50.0%)	3 (50.0%)
III a	32	18 (56.3%)	22 (68.8%)	22 (68.8%)
III b	2	2 (100.0%)	2 (100.0%)	2 (100.0%)
IV	22	16 (72.7%)	14 (63.6%)	19 (86.4%)
<i>P</i> value <sup>b</sup>		NS	NS	<i>P</i> < 0.05
T factor <sup>a</sup>				
T1	51	20 (39.2%)	23 (45.1%)	32 (62.7%)
T2	60	39 (65.0%)	36 (60.0%)	39 (65.0%)
T3	9	7 (77.8%)	8 (88.9%)	5 (55.6%)
<i>P</i> value <sup>b</sup>		<i>P</i> < 0.01	<i>P</i> < 0.05	NS
N factor <sup>a</sup>				
N0	69	35 (50.7%)	35 (50.7%)	38 (56.3%)
N1	6	3 (50.0%)	3 (50.0%)	3 (50.0%)
N2	41	25 (61.0%)	26 (63.4%)	32 (78.0%)
N3	4	3 (75.0%)	3 (75.0%)	3 (75.0%)
<i>P</i> value <sup>b</sup>		NS	NS	NS
M factor <sup>a</sup>				
M0	98	50 (51.0%)	53 (54.1%)	57 (58.8%)
M1	22	16 (72.7%)	14 (63.6%)	19 (86.3%)
<i>P</i> value <sup>b</sup>		NS	NS	<i>P</i> < 0.01
Differentiation				
Well	57	31 (54.3%)	31 (54.4%)	34 (59.6%)
Moderate	43	27 (62.8%)	28 (65.1%)	32 (74.4%)
Poor	20	8 (40.0%)	8 (40.0%)	10 (50.0%)
<i>P</i> value <sup>b</sup>		NS	NS	NS

<sup>a</sup>TNM lung cancer staging system of the International Union Against Cancer (UICC).

<sup>b</sup>Chi-square test.

NS = not significant.

rank analysis indicates that patients whose tumors stained positive for TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II had a significantly poorer prognosis than patients whose tumors were negative to all three immunostainings (*P* = 0.0013).

To determine whether the TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II expressions could serve as prognostic indicators of post-operative overall survival, a multivariate analysis was done on specimens from 96 potentially curatively operated patients (Table V). The results of this analysis revealed that the TGF- $\beta$ 1 expression (*P* = 0.0188) and the *P*-stage (*P* = 0.0001) can serve as prognostic indicators of postoperative overall survival.

## DISCUSSION

Various human cancers express the TGF- $\beta$  polypeptides. Elevated TGF- $\beta$ 1 levels have been reported in gastric [10], thyroid [11], and brain cancers [12], and TGF- $\beta$ 1 expression has been found to relate the progression of breast cancer [13]. As for the mechanisms accounting for

**TABLE III. Pulmonary Adenocarcinoma: Relationships Between Clinicopathologic Features and TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II Expressions on Comparing Findings Between the All-negative Group and the All-positive Group\***

	TGF- $\beta$ 1 (-) T $\beta$ R-I (-) T $\beta$ R-II (-)	TGF- $\beta$ 1 (+) T $\beta$ R-I (+) T $\beta$ R-II (+)	<i>P</i> -value <sup>a</sup>
Patient <sup>b</sup>	19	36	
<i>P</i> -stage			
I	14	10	<i>P</i> < 0.01
II	2	2	
IIIa	2	10	
IIIb	0	2	
IV	1	12	NS
T factor <sup>b</sup>			
T1	11	12	
T2	8	20	
T3	0	4	NS
N factor <sup>b</sup>			
N0	14	15	
N1	2	2	
N2	2	16	<i>P</i> < 0.05
N3	1	3	
M factor <sup>b</sup>			
M0	18	24	
M1	1	12	NS
Differentiation			
Well	10	16	
Moderate	4	17	
Poor	5	3	

\*TGF = transforming growth factor; T $\beta$ R = transforming growth factor- $\beta$  receptor.

<sup>a</sup>Chi-square test.

<sup>b</sup>TNM Lung Cancer staging system of the International Union Cancer (UICC).

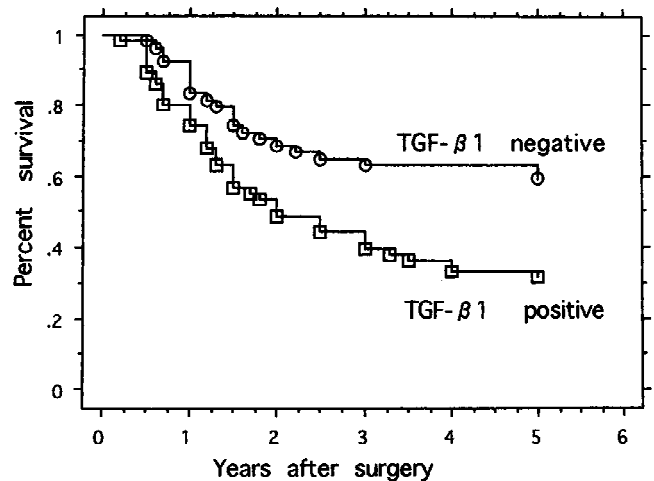


Fig. 3. Overall survival curves of the pulmonary adenocarcinoma cases, based on the TGF- $\beta$ 1 response. A significant difference was seen between the negative and positive cases (*P* < 0.01).

this TGF- $\beta$  expression, it is speculated that the TGF- $\beta$  signal is transduced through two receptors, T $\beta$ R-I and T $\beta$ R-II that function as a complex.

Further, as we have previously reported, the TGF- $\beta$ 1

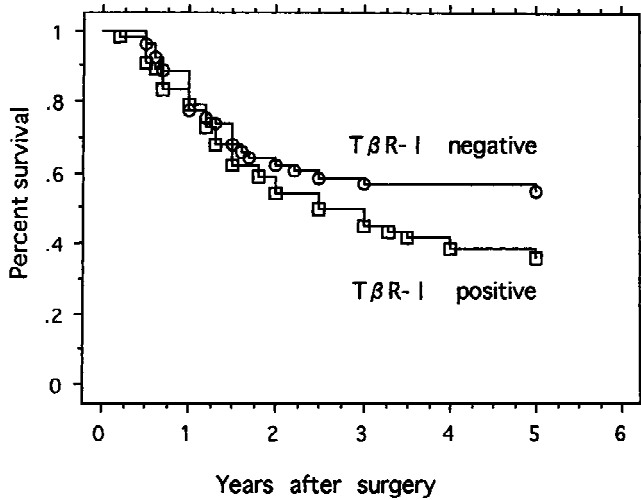


Fig. 4. Overall survival curves of the pulmonary adenocarcinoma cases, based on the T $\beta$ R-I response. A significant difference was not seen between the negative and positive cases.

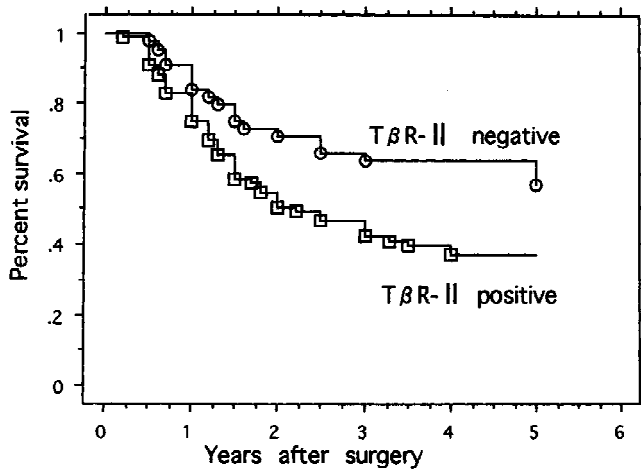


Fig. 5. Overall survival curves of the pulmonary adenocarcinoma cases, based on the T $\beta$ R-II response. A significant difference was seen between the negative and positive cases ( $P < 0.05$ ).

expression was found to be a prognostic factor in pulmonary adenocarcinomas [14]. Also, in pancreatic cancers, it has been found that the TGF- $\beta$ 1 and T $\beta$ R-II mRNA levels are increased [15,16]. However, until this study, the frequency and correlations of the TGF- $\beta$ 1, T $\beta$ R-I and T $\beta$ R-II expressions in pulmonary adenocarcinomas have not been investigated.

Immunohistochemical techniques were used to evaluate TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II expressions in pulmonary adenocarcinomas, and on immunostaining the TGF- $\beta$ 1 and T $\beta$ R-I responses were primarily cytoplasmic, whereas the T $\beta$ R-II response was mesenchymal. These findings suggest that in pulmonary adenocarcinomas the TGF- $\beta$  polypeptides may act in an autocrine and paracrine manner to activate the expression of T $\beta$ R-I and T $\beta$ R-II.

TABLE IV. Five-year Survival Rate in Lung Adenocarcinoma Patients Whose Tumors Showed Positive TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II Immunostainings vs. Patients With Tumors That Were Negative to All Three Immunostainings\*

	n	5-year survival rate	Log-rank
TGF- $\beta$ 1 (-), T $\beta$ R-I (-), T $\beta$ R-II (-)	19	68%	-
TGF- $\beta$ 1 (-), T $\beta$ R-I or T $\beta$ R-II (+)	27	51%	0.2453
TGF- $\beta$ 1 (-), T $\beta$ R-I (+), T $\beta$ R-II (+)	8	63%	0.8360
TGF- $\beta$ 1 (+), T $\beta$ R-I (-), T $\beta$ R-II (-)	2	50%	0.7770
TGF- $\beta$ 1 (+), T $\beta$ R-I or T $\beta$ R-II (+)	16	43%	0.0582
TGF- $\beta$ 1 (+), T $\beta$ R-I (+), T $\beta$ R-II (+)	36	25%	0.0013

\*TGF: transforming growth factor; T $\beta$ R: transforming growth factor- $\beta$  receptor.

TABLE V. Multivariate Analysis of 96 Curatively Resected Lung Adenocarcinoma Patients Using Cox's Proportional Hazard Model

Variables	Multivariate analysis	
	$\chi^2$	P value
P stage	26.206	0.0001
TGF- $\beta$ 1	5.523	0.0188
T $\beta$ R-I	1.448	0.2288
T $\beta$ R-II	0.538	0.4634

TGF = transforming growth factor; T $\beta$ R = transforming growth factor- $\beta$  receptor.

In this regard, TGF- $\beta$ 1 was detected in patients who showed an intense T $\beta$ R-I expression, and a significant correlation was found between the expression of TGF- $\beta$ 1 and T $\beta$ R-I, but no correlation was found between either the TGF- $\beta$ 1 or T $\beta$ R-I expression and the T $\beta$ R-II expression. Similar findings have been reported in glioblastoma by Yamada et al. [17].

We also found that positive TGF- $\beta$ 1 and T $\beta$ R-I expressions are associated with growth in tumor size. After reaching a certain size, the tumor acquires vascularization and TGF- $\beta$ 1 and T $\beta$ R-I is speculated to be involved in this process. As for T $\beta$ R-II expression, it showed an association with a worsening tumor stage and the M-factor. In glioma as well, the T $\beta$ R-II expression has been reported to correlate with the grade of malignancy [17].

Our studies showed that less advanced tumor showed no response to TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II immunostainings, whereas more advanced tumors responded to all three immunostainings. These findings were similar, which probably reflects a close T $\beta$ R-II involvement in developing malignancies. Further, the overall prognosis of patients who showed a positive TGF- $\beta$ 1 or T $\beta$ R-II response was poorer than that of patients who showed negative TGF- $\beta$ 1 or T $\beta$ R-II response, and the 5-year survival rate of patients whose tumor cells did not express TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II antibodies was markedly higher. Conversely, the 5-year survival rate of pa-

tients was significantly poorer in patients in whom the three antibodies were expressed in their tumor cells.

The results of our multivariate analysis revealed that the TGF- $\beta$ 1 expression has a significant effect on prognosis. Also, although the T $\beta$ R-II expression appeared to be a prognostic indicator, our analysis revealed that the T $\beta$ R-II expression is not an independent indicator, and it may be that the T $\beta$ R-II expression interferes with the effect of stage on survival.

Our findings suggest that a pulmonary adenocarcinoma is more likely to proliferate and metastasize when TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II are expressed. In contrast, a reduced expression of TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II correlated with less tumor aggressiveness and a better prognosis. It has been suggested that the p53 [18], the retinoblastoma suppressor protein [19], and the c-myc proliferation-inducing protein [20] may be included in TGF- $\beta$  mediated signal transduction pathways. Therefore, it is possible to speculate that the expression of TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II may confer a growth advantage to in vivo cancer cells.

Further, pulmonary adenocarcinomas have been found to overexpress the epidermoid growth factor (EGF) [21], EGF-receptor [21], c-erbB-2 [22], TGF- $\alpha$  [23], other growth factors and their receptors [24]. Thus it may be that the growth advantage derived by pulmonary adenocarcinomas that express TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II also may depend on the participation of these other regulatory signals.

Based on the above findings, it thus appears that TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II expressions play an important role in determining tumor progression and that the TGF- $\beta$ 1 value is a useful prognostic marker for a pulmonary adenocarcinoma. Further, the results of our studies on signal transduction mechanisms of TGF- $\beta$  suggest that the presence of a T $\beta$ R-I and T $\beta$ R-II expression is required for TGF- $\beta$  signal transduction.

## CONCLUSION

The overall prognosis of patients who showed a positive TGF- $\beta$ 1 or T $\beta$ R-II response was poorer than that of patients who showed a negative TGF- $\beta$ 1 or T $\beta$ R-II response. The 5-year survival rate was significantly poorer for patients showing positive TGF- $\beta$ 1, T $\beta$ R-I, T $\beta$ R-II expressions than for patients in whom all three immunostainings were negative. These findings suggest that TGF- $\beta$ 1, T $\beta$ R-I, and T $\beta$ R-II play important roles in tumor progression and that positive T $\beta$ R-I and T $\beta$ R-II expression are necessary for TGF- $\beta$  signal transduction.

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